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*Admitted only in Virginia

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Federal Agencies

January 11, 2005

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Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Art Unit 1644

Re: U.S. Utility Patent Application
Application No. 09/458,299; Filed: December 10, 1999
For: **Inducing Cellular Immune Responses to HER2/neu Using Peptide and Nucleic Acid Compositions**
Inventors: FIKES *et al.*
Our Ref: 2060.0140000/HCC/J-H

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Fee Transmittal (PTO/SB/17);
2. Second Supplemental Information Disclosure Statement;
3. Second Supplemental Form PTO-1449, 3 pages, listing 15 documents (AA2-AB2 and AS30-AT32);
4. Third Supplemental Information Disclosure Statement;
5. Third Supplemental Form PTO-1449, 26 pages, listing 96 documents (AC2-AI2, AL4-AP5, AR33-AS58);
6. One (1) copy of each of the 15 cited documents (AA2-AB2 and AS30-AT32) on Second Supplemental Form PTO-1449;
7. One (1) copy of each of the 96 cited documents (AC2-AI2, AL4-AP5, AR33-AS58) on Third Supplemental Form PTO-1449;
8. PTO-2038 Credit Card Payment Form for: \$180.00 to cover Information Disclosure Statement fee under 37 C.F.R. § 1.17(p); and

Commissioner for Patents
January 11, 2005
Page 2

9. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Eric K. Steffe
Attorney for Applicants
Registration No. 36,688

EKS/J-H/tis

350821v1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Fikes *et al.*

Appl. No.: 09/458,299

Filed: December 10, 1999

For: **Inducing Cellular Immune
Responses to HER2/neu Using
Peptide and Nucleic Acid
Compositions**

Confirmation No.: 8698

Art Unit: 1644

Examiner: DiBrino, Marianne

Atty. Docket: 2060.0140000/EKS/J-H

**Second Supplemental Information Disclosure Statement
Under 37 C.F.R. § 1.97(c)**

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Second Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' First Supplemental Information Disclosure Statement filed on March 21, 2003 in connection with the above-captioned application. A copy of each document is provided.

In accordance with 37 C.F.R. § 1.98(a)(3), Applicants' undersigned representative submits the following discussion of the relevance of the non-English language document AL3 cited on Form PTO 1449:

Document AL3, EP 0 226 513 A1, is in the French language. It is believed that AL3 discloses HIV peptide derivatives. An English language abstract of document AL3 is attached as document AT32.

The Examiner's attention is directed to the following applications:

co-pending U.S. Application No. 10/817,970, Grey *et al.*, filed April 6, 2004, now published as U.S. Patent Application Publication No. 2004/0121946 A1 and submitted herewith as document AB2;

co-pending U.S. Application No. 10/770,493, Grey *et al.*, filed February 4, 2004; and

co-pending U.S. Application No. 10/817,970, Grey *et al.*, filed April 6, 2004;

which are directed to related technical subject matter. Copies of co-pending U.S. Application Nos: 10/770,493 and 10/817,970 are not provided pursuant to the Waiver of Requirements in 37 C.F.R. § 1.98, *Official Gazette*, October 16, 2004. The identification of these U.S. Patent Applications is not to be construed as a waiver of secrecy as to this application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.

Applicants would also like to bring to the attention of the examiner that documents AB2, AL3, and AT32 are copies of documents submitted previously, but were not considered by the Examiner as indicated in the Office Action mailed June 22, 2004. Document AB2 is the corrected publication of document AR30, co-pending U.S. Patent Application No. 10/149,138, Fikes *et al.*, filed June 10, 2002. Applicants note that the Examiner cited U.S. Patent Application Publication No. 2004/0018971 A1 in the Office Action mailed June 22, 2004 which is also a published version of co-pending U.S. Patent Application No. 10/149,138. Document AL3, EP 0 226 513, is the resubmission of document AM1 and document AS32, Dialog File 351, Accession No. 7180926, WPI English language abstract of EP 0 226 513, is the resubmission of document AS25.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates

should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Eric K. Steffe
Attorney for Applicants
Registration No. 36,688

Date: 1/11/05

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3042662.1

JAN 11 2005

FORM PTO-144

~~SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT~~

ATTY. DOCKET NO.
2060.0140000/EKS/J-HAPPLICATION NO.
09/458,299APPLICANT(S)
Fikes *et al.*FILING DATE
December 10, 1999ART UNIT
1644

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA2	5,736,142	04/07/1998	Sette <i>et al.</i>			09/14/1994
	AB2	2004/0121946 A1	06/24/2004	Fikes <i>et al.</i>			10/24/2002
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL3	EP 0 226 513 A1	06/24/1987	Europe			Yes <input checked="" type="checkbox"/> No
	AM3	WO 99/45954	09/16/1999	WIPO			Yes <input type="checkbox"/> No
	AN3	WO 01/41787 A1	06/14/2001	WIPO			Yes <input type="checkbox"/> No
	AO3	WO 98/33888	08/06/1998	WIPO			Yes <input type="checkbox"/> No
	AP3	WO 96/18409	06/20/1996	WIPO			Yes <input type="checkbox"/> No

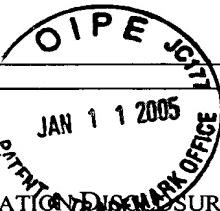
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	30	
	AS	30	Altman, J.D., <i>et al.</i> , "Phenotypic Analysis of Antigen-Specific T Lymphocytes," <i>Science</i> 274:94-96, American Association for the Advancement of Science (1996)
	AT	30	Fisk, B., <i>et al.</i> , "Identification of an Immunodominant Peptide of HER-2/neu Protooncogene Recognized by Ovarian Tumor-specific Cytotoxic T Lymphocyte Lines," <i>J. Exp. Med.</i> 181:2109-2117, The Rockefeller University Press (June 1995)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

 <small>JAN 11 2005</small> FORM PTO-1449 SECOND SUPPLEMENTAL INFORMATION STATEMENT		ATTY. DOCKET NO. 2060.0140000/EKS/J-H	APPLICATION NO. 09/458,299
		APPLICANT(S) <i>Fikes et al.</i>	
		FILING DATE December 10, 1999	ART UNIT 1644

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

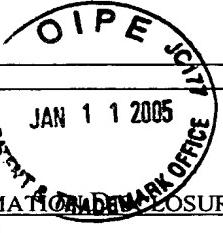
FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	31	Greenberg, P.D., "Adoptive T Cell Therapy of Tumors: Mechanisms Operative in the Recognition and Elimination of Tumor Cells," <i>Adv. Immunol.</i> 49:281-355, Academic Press (1991)
AS	31	Ioannides, C.G., <i>et al.</i> , "T-Cell Recognition of Oncogene Products: A New Strategy for Immunotherapy," <i>Mol. Carcinog.</i> 6:77-82, Wiley-Liss (1992)
AT	31	Keogh, E., <i>et al.</i> , "Identification of New Epitopes from Four Different Tumor-Associated Antigens: Recognition of Naturally Processed Epitopes Correlates with HLA-A*0201-Binding Affinity," <i>J. Immunol.</i> 167:787-796, American Association of Immunologists (2001)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

 JAN 11 2005 FORM PTO-1449 SECOND SUPPLEMENTAL INFORMATION STATEMENT		ATTY. DOCKET NO. 2060.0140000/EKS/J-H	APPLICATION NO. 09/458,299
		APPLICANT(S) Fikes <i>et al.</i>	
		FILING DATE December 10, 1999	ART UNIT 1644

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>32</u>	Kono, K., <i>et al.</i> , "Identification of HER2/neu-Derived Peptide Epitopes Recognized by Gastric Cancer-Specific Cytotoxic T Lymphocytes," <i>Int. J. Cancer</i> 78:202-208, Wiley-Liss, Inc. (October 1998)
AS	<u>32</u>	Melief, C.J.M., and Kast, W.M., "Lessons from T Cell Responses to Virus Induced Tumours for Cancer Eradication in General," <i>Cancer Surv.</i> 13:81-99, Cold Spring Harbor Press (1992)
AT	<u>32</u>	Dialog File 351, Accession No. 7180926, WPI English language abstract for EP 0 226 513 A1 (Document AM3)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	



Equivalent to Form
PTO/SB/17 (12-04)

Approved for use through 07/31/2006.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995 no persons are required to respond to a collection of information unless it displays a valid OMB control number

Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL For FY 2005

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)
180.00

Complete if Known	
Application Number	09/458,299
Filing Date	December 10, 1999
First Named Inventor	John D. FIKES
Examiner Name	DiBrino, M.
Art Unit	1644
Attorney Docket No.	2060.0140000/HCC/J-H

METHOD OF PAYMENT (check all that apply)

Check Credit Card Money Order None Other (please identify): _____

Deposit Account Deposit Account Number: **19-0036** Deposit Account Name: **Sterne, Kessler, Goldstein & Fox P.L.L.C.**

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

<input type="checkbox"/> Charge fee(s) indicated below	<input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee
<input checked="" type="checkbox"/> Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17	<input checked="" type="checkbox"/> Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

<u>Application Type</u>	FILING FEES		SEARCH FEES		EXAMINATION FEES		<u>Fees Paid (\$)</u>
	<u>Fee (\$)</u>	<u>Small Entity</u>	<u>Fee (\$)</u>	<u>Small Entity</u>	<u>Fee (\$)</u>	<u>Small Entity</u>	
Utility	300	150	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Plant	200	100	300	150	160	80	_____
Reissue	300	150	500	250	600	300	_____
Provisional	200	100	0	0	0	0	_____

2. EXCESS CLAIM FEES

Fee Description

Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent

<u>Fee (\$)</u>	<u>Small Entity</u>
50	25

Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent

200	100
-----	-----

Multiple dependent claims

360	180
-----	-----

Total Claims

Extra Claims Fee (\$) Fee Paid (\$)

Multiple Dependent Claims

Fee (\$) Fee Paid (\$)

- 20 or HP = _____ x _____ = _____

HP = highest number of total claims paid for, if greater than 20

Indep. Claims

Extra Claims Fee (\$) Fee Paid (\$)

- 3 or HP = _____ x _____ = _____

HP = highest number of independent claims paid for, if greater than 3

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>
_____	_____	/ 50 = _____ (round up to a whole number)	x _____	= _____

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other: Information Disclosure Statement

Fees Paid (\$)

180.00

SUBMITTED BY

Signature		Registration No. (Attorney/Agent)	36,688	Telephone	(202) 371-2600
Name (Print/Type)	Eric K. Steffe			Date	1/11/05

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

FIKES *et al.*

Appl. No.: 09/458,299

Filed: December 10, 1999

For: **Inducing Cellular Immune
Responses to HER2/neu Using
Peptide and Nucleic Acid
Compositions**

Confirmation No.: 8698

Art Unit: 1644

Examiner: DiBrino, M.

Atty. Docket: 2060.0140000/EKS/J-H

**Third Supplemental Information Disclosure Statement
Under 37 C.F.R. § 1.97(c)**

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Third Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Second Supplemental Information Disclosure Statement filed herewith.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.

3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
- a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p).
4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee.

Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$_____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

- a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- 7. Copies of the documents are submitted herewith.

8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

The documents cited in this Third Supplemental Information Disclosure Statement are of general relevance to the claimed invention.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

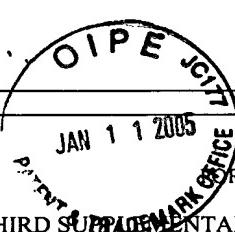
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Eric K. Steffe
Attorney for Applicants
Registration No. 36,688

Date: 1/11/05

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Washington, D.C. 20005-3934
(202) 371-2600



Page 1 of 26

ATTY. DOCKET NO. 2060.0140000	APPLICATION NO. 09/458,299
APPLICANT(S) <i>Fikes et al.</i>	
FILING DATE December 10, 1999	ART UNIT 1644

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC2	4,235,877	11/25/1980	Fullerton			06/27/1979
	AD2	4,487,715	12/11/1984	Nitecki <i>et al.</i>			07/09/1982
	AE2	4,599,230	07/08/1986	Milich <i>et al.</i>			03/09/1984
	AF2	4,837,028	06/06/1989	Allen			12/24/1986
	AG2	5,013,548	05/07/1991	Haynes <i>et al.</i>			01/21/1988
	AH2	5,128,319	07/07/1992	Arlinghaus			09/20/1989
	AI2	2004/0157780 A1	08/21/2004	Grey <i>et al.</i>			02/04/2004
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL4	EP 0 378 881	06/09/1993	Europe			Yes No
	AM4	EP 0 429 816	06/05/1991	Europe			Yes No
	AN4	EP 0 433 242	06/19/1991	Europe			Yes No
	AO4	WO 93/03764	03/04/1993	WIPO			Yes No
	AP4	WO 94/20127	09/15/1994	WIPO			Yes No

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AR	<u>33</u>	Alexander, J., <i>et al.</i> , "Development of High Potency Universal DR-Restricted Helper Epitopes by Modification of High Affinity DR-Blocking Peptides," <i>Immunity</i> 1:751-761, Cell Press (1994)
AS	<u>33</u>	Arndt, S.O., <i>et al.</i> , "Selection of the MHC Class II-Associated Peptide Repertoire by HLA-DM," <i>Immunol. Res.</i> 16:261-272, Humana Press (December 1997)
AT	<u>33</u>	Barouch, D., <i>et al.</i> , "HLA-A2 Subtypes Are Functionally Distinct in Peptide Binding and Presentation," <i>J. Exp. Med.</i> 182:1847-1856, Rockefeller University Press (1995)

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		APPLICANT(S) Fikes et al.	
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	AL5	WO 95/07707	03/23/1995	WIPO			Yes
	AM5	WO 96/22067	07/25/1996	WIPO			No
	AN5	WO 97/41440	11/06/1997	WIPO			Yes
	AO5	WO 97/34617	09/25/1997	WIPO			No
	AP5	WO 01/00225	01/04/2001	WIPO			Yes
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AR	<u>34</u>	Bender, A., et al., "Improved methods for the generation of dendritic cells from nonproliferating progenitors in human blood," <i>J. Immunol. Methods</i> 196:121-135, Elsevier Science (1996)
AS	<u>34</u>	Ben-Yedidya, T., and Arnon, R., "Design of peptide and polypeptide vaccines," <i>Curr. Opin. Biotechnol.</i> 8:442-448, Current Biology, Ltd. (1997)
AT	<u>34</u>	Carbone, F.R., and Bevan, M.J., "Induction of Ovalbumin-Specific Cytotoxic T Cells by In Vivo Peptide Immunization," <i>J. Exp. Med.</i> 169:603-612, Rockefeller University Press (1989)

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AR	<u>35</u>	Carbone, F.R., <i>et al.</i> , "Induction of Cytotoxic T Lymphocytes by Primary In Vitro Stimulation with Peptides," <i>J. Exp. Med.</i> 167:1767-1779, Rockefeller University Press (1988)
AS	<u>35</u>	Cassell, D., and Forman, J., "Linked Recognition of Helper and Cytotoxic Antigenic Determinants for the Generation of Cytotoxic T Lymphocytes," <i>Ann. N.Y. Acad. Sci.</i> 532:51-60, New York Academy Of Sciences (1991)
AT	<u>35</u>	Deres, K., <i>et al.</i> , " <i>In vivo</i> priming of virus-specific cytotoxic T lymphocytes with synthetic lipopeptide vaccine," <i>Nature</i> 342:561-564, Nature Publishing Group (1989)

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AR	<u>36</u>	del Guercio, M-F., <i>et al.</i> , "Potent immunogenic short linear peptide constructs composed of B cell epitopes and Pan DR T Helper Epitopes (PADRE) for antibody responses <i>in vivo</i> ," <i>Vaccine</i> 15:441-448, Elsevier Science (March 1997)
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AT	<u>36</u>	DiBrino, M., <i>et al.</i> , "The HLA-B14 Peptide Binding Site Can Accommodate Peptides with Different Combinations of Anchor Residues," <i>J. Biol. Chem.</i> 269:32426-32434, American Society for Biochemistry and Molecular Biology (1994)

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AR	<u>37</u>	Donnelly, J.J., <i>et al.</i> , "DNA Vaccines," <i>Annu. Rev. Immunol.</i> 15:617-648, Annual Reviews Inc. (April 1997)
AS	<u>37</u>	Francis, M.J., <i>et al.</i> , "Non-responsiveness to a foot-and-mouth disease virus peptide overcome by addition of foreign helper T-cell determinants," <i>Nature</i> 330:168-170, Nature Publication Group (1987)
AT	<u>37</u>	Fynan, E.F., <i>et al.</i> , "DNA vaccines: Protective immunizations by parental, mucosal, and gene-gun inoculations," <i>Proc. Natl. Acad. Sci. USA</i> 90:11478-11482, National Academy of Sciences (1993)

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AR	<u>38</u>	Gileadi, U., <i>et al.</i> , "Effect of epitope flanking residues on the presentation of N-terminal cytotoxic T lymphocyte epitopes," <i>Eur. J. Immunol.</i> 29:2213-2222, WILEY-VCH Verlag GmbH (July 1999)
AS	<u>38</u>	Golvano, J., <i>et al.</i> , "Polarity of immunogens: implications for vaccine design," <i>Eur. J. Immunol.</i> 20:2363-2366, VCH Verlagsgesellschaft mbH (1990)
AT	<u>38</u>	Gulukota, K., <i>et al.</i> , "Two Complementary Methods for Predicting Peptides Binding Major Histocompatibility Complex Molecules," <i>J. Mol. Biol.</i> 267:1258-1267, Academic Press Limited (April 1997)

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>39</u>	Hahn, Y.S., <i>et al.</i> , "CD8 ⁺ T Cell Recognition of an Endogenously Processed Epitope is Regulated Primarily by Residues within the Epitope," <i>J. Exp. Med.</i> 176:1335-1341, Rockefeller University Press (1992)
AS	<u>39</u>	Hahn, Y.S., <i>et al.</i> , "Presentation of Viral Antigen to Class I Major Histocompatibility Complex-Restricted Cytotoxic T Lymphocyte. Recognition of an Immunodominant Influenza Hemagglutinin Site by Cytotoxic T Lymphocyte is Independent of the Position of the Site in the Hemagglutinin Translation Product," <i>J. Exp. Med.</i> 174:733-736, Rockefeller University Press (1991)
AT	<u>39</u>	Hammer, J., <i>et al.</i> , "Precise Prediction of Major Histocompatibility Complex Class II-Peptide Interaction Based on Peptide Side Chain Scanning," <i>J. Exp. Med.</i> 180:2353-2358, Rockefeller University Press (1994)

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	AL						Yes No
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	40	Hill, C.M., <i>et al.</i> , "Exploration of Requirements for Peptide Binding to HLA DRB1*0101 and DRB1*0401," <i>J. Immunol.</i> 152:2890-2898, American Association of Immunologists (1994)
AS	40	Huczko, E.L., <i>et al.</i> , "Characteristics of Endogenous Peptides Eluted from the Class I MHC Molecule HLA-B7 Determined by Mass Spectrometry and Computer Modeling," <i>J. Immunol.</i> 151:2572-2587, American Association of Immunologists (1993)
AT	40	Ishioka, G.Y., <i>et al.</i> , "Class I MHC-restricted, peptide specific cytotoxic T lymphocytes generated by peptide priming <i>in vivo</i> ," in <i>Vaccines90: Modern Approaches to New Vaccines Including Prevention of AIDS</i> , Brown, F., <i>et al.</i> , eds., Cold Spring Harbor Laboratory Press, Cold Spring Harbor, NY, pp. 7-11 (1990)

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AL						Yes No
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>41</u>	Ishioka, G.Y., <i>et al.</i> , "Induction of Class I MHC-Restricted, Peptide-Specific Cytolytic T Lymphocytes by Peptide Priming In Vivo," <i>J. Immunol.</i> 143:1094-1100, American Association of Immunologists (1989)
AS	<u>41</u>	Jardetzky, T.S., <i>et al.</i> , "Peptide binding to HLA-DR1: a peptide with most residues substituted to alanine retains MHC binding," <i>EMBO J.</i> 9:1797-1803, Oxford University Press (1990)
AT	<u>41</u>	Kast, W.M., <i>et al.</i> , "Protection against lethal Sendai virus infection by <i>in vivo</i> priming of virus-specific cytotoxic T lymphocytes with a free synthetic peptide," <i>Proc. Natl. Acad. Sci. USA</i> 88:2283-2287, National Academy of Sciences (1991)

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AR	<u>42</u>	Kondo, A., <i>et al.</i> , "Two distinct HLA-A*0101-specific submotifs illustrate alternative peptide binding modes," <i>Immunogenetics</i> 45:249-258, Springer-Verlag (January 1997)
AS	<u>42</u>	Kubitscheck, U., <i>et al.</i> , "Peptide Binding to Class I Molecules of the Major Histocompatibility Complex on the Surface of Living Target Cells," <i>Scand. J. Immunol.</i> 36:341-348, Blackwell Scientific Publications (1992)
AT	<u>42</u>	Kubo, R.T., <i>et al.</i> , "Definition of Specific Peptide Motifs for Four Major HLA-A Alleles," <i>J. Immunol.</i> 152:3913-3924, American Association of Immunologists (1994)

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AR	<u>43</u>	Kumar, A., <i>et al.</i> , "Universal T Helper Cell Determinants Enhance Immunogenicity of a <i>Plasmodium falciparum</i> Merozoite Surface Antigen Peptide," <i>J. Immunol.</i> 148:1499-1505, American Association of Immunologists (1992)
AS	<u>43</u>	Lasarte, J-J., <i>et al.</i> , "Induction of Cytotoxic T Lymphocytes in Mice against the Principal Neutralizing Domain of HIV-1 by Immunization with an Engineered T-Cytotoxic-T-Helper Synthetic Helper Peptide Construct," <i>Cell. Immunol.</i> 141:211-218, Academic Press Inc. (1992)
AT	<u>43</u>	Madden, D.R., <i>et al.</i> , "The structure of HLA-B27 reveals nonamer self-peptides bound in an extended conformation," <i>Nature</i> 353:321-325, Nature Publishing Group (1991)

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AR	<u>44</u>	Maier, R., <i>et al.</i> , "Peptide motifs of HLA-A3, -A24, and -B7 molecules as determined by pool sequencing," <i>Immunogenetics</i> 40:306-308, Springer-Verlag (1994)
AS	<u>44</u>	Martinon, F., <i>et al.</i> , "Immunization of Mice with Lipopeptides Bypasses the Prerequisite for Adjuvant," <i>J. Immunol.</i> 149:3416-3422, American Association of Immunologists (1992)
AT	<u>44</u>	Niedermann, G., <i>et al.</i> , "Contribution of Proteasome-Mediated Proteolysis to the Hierarchy of Epitopes Presented by Major Histocompatibility Complex Class I Molecules," <i>Immunity</i> 2:289-299, Cell Press (1995)

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AR	45	Niedermann, G., <i>et al.</i> , "The specificity of proteasomes: impact on MHC class I processing and presentation of antigens," <i>Immunol. Rev.</i> 172:29-48, Munksgaard (December 1999)
AS	45	Nikolić-Žugić, J., and Carbone, F.R., "Peptide Presentation by Class-I Major Histocompatibility Complex Molecules," <i>Immunol. Res.</i> 10:54-65, S. Karger AG (1991)
AT	45	O'Sullivan, D., <i>et al.</i> , "Characterization of the Specificity of Peptide Binding to Four DR Haplotypes," <i>J. Immunol.</i> 145:1799-1808, American Association of Immunologists (1990)

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AR	<u>46</u>	O'Sullivan, D., <i>et al.</i> , "On the Interaction of Promiscuous Antigenic Peptides with Different DR Alleles," <i>J. Immunol.</i> 147:2663-2669, American Association of Immunologists (1991)
AS	<u>46</u>	Panina-Bordignon, P., <i>et al.</i> , "Universally immunogenic T cell epitopes: promiscuous binding to human MHC class II and promiscuous recognition by T cells," <i>Eur. J. Immunol.</i> 19:2237-2242, VCH Verlagsgesellschaft mbH (1989)
AT	<u>46</u>	Paz, P., <i>et al.</i> , "Discrete Proteolytic Intermediates in the MHC Class I Antigen Processing Pathway and MHC I-Dependent Peptide Trimming in the ER," <i>Immunity</i> 11:241-251, Cell Press (August 1999)

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FORM PTO-1449 THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT		ATTY. DOCKET NO. 2060.0140000	APPLICATION NO. 09/458,299
		APPLICANT(S) Fikes <i>et al.</i>	
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AL						Yes No
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AN						Yes No
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AR	47	Penna, A., <i>et al.</i> , "Cytotoxic T Lymphocytes Recognize an HLA-A2-Restricted Epitope Within the Hepatitis B Virus Nucleocapsid Antigen," <i>J. Exp. Med.</i> 174:1565-1570, Rockefeller University Press (1991)
AS	47	Pryjma, J., <i>et al.</i> , "Induction and Suppression of Immunoglobulin Synthesis in Cultures of Human Lymphocytes: Effects of Pokeweed Mitogen and <i>Staphylococcus Aureus</i> Cowan I," <i>J. Immunol.</i> 124:656-661, Williams & Wilkins Co. (1980)
AT	47	Rahemtulla, A., <i>et al.</i> , "Normal development and function of CD8 ⁺ cells but markedly decreased helper cell activity in mice lacking CD4," <i>Nature</i> 353:180-183, Nature Publishing Group (1991)

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AR	48	Rammensee, H-G., <i>et al.</i> , "SYFPEITHI: database for MHC ligands and peptide motifs," <i>Immunogenetics</i> 50:213-219, Springer-Verlag (November 1999)
AS	48	Reitermann, A., <i>et al.</i> , "Lipopeptide Derivatives of Bacterial Lipoprotein Constitute Potent Immune Adjuvants Combined with or Covalently Coupled to Antigen or Hapten," <i>Biol. Chem. Hoppe Seyler</i> 370:343-352, Walter De Gruyter (1989)
AT	48	Restifo, N.P., <i>et al.</i> , "Antigen Processing In Vivo and the Elicitation of Primary CTL Responses," <i>J. Immunol.</i> 154:4414-4422, American Association of Immunologists (1995)

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AR	<u>49</u>	Saper, M.A., <i>et al.</i> , "Refined Structure of the Human Histocompatibility Antigen HLA-A2 at 2.6 Å Resolution," <i>J. Mol. Biol.</i> 219:277-319, Academic Press Ltd. (1991)				
AS	<u>49</u>	Schaeffer, E.B., <i>et al.</i> , "Relative contribution of 'determinant selection' and 'holes in the T-cell repertoire' to T-cell responses," <i>Proc. Natl. Acad. Sci. USA</i> 86:4649-4653, National Academy of Sciences (1989)				
AT	<u>49</u>	Schumacher, T.N.M., <i>et al.</i> , "Peptide selection by MHC class I molecules," <i>Nature</i> 350:703-706, Nature Publishing Group (1991)				

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AR	<u>50</u>	Sette, A., and Sidney, J., "HLA supertypes and supermotifs: a functional perspective on HLA polymorphism," <i>Curr. Opin. Immunol.</i> 10:478-482, Current Biology Publications (August 1998)
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AT	<u>50</u>	Sette, A., <i>et al.</i> , "Effect of Conformational Propensity of Peptide Antigens in Their Interaction with MHC Class II Molecules," <i>J. Immunol.</i> 143:1268-1273, American Association of Immunologists (1989)

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AR	<u>51</u>	Sette, A., <i>et al.</i> , "Peptide Binding to the Most Frequent HLA-A Class I Alleles Measured by Quantitative Molecular Binding Assays," <i>Mol. Immunol.</i> 31:813-822, Pergamon Press (1994)
AS	<u>51</u>	Sidney, J., <i>et al.</i> , "Definition of an HLA-A3-Like Supermotif Demonstrates the Overlapping Peptide-Binding Repertoires of Common HLA Molecules," <i>Hum. Immunol.</i> 45:79-93, Elsevier Science Inc. (1996)
AT	<u>51</u>	Sidney, J., <i>et al.</i> , "Practical, biochemical and evolutionary implications of the discovery of HLA class I supermotifs," <i>Immunol. Today</i> 17:261-266, Elsevier Science (1996)

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	AT	<u>52</u>	Southwood, S., <i>et al.</i> , "Several Common HLA-DR Types Share Largely Overlapping Peptide Binding Repertoires," <i>J. Immunol.</i> 160:3363-3373, American Association of Immunologists (April 1998)

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AS	<u>53</u>	Stark, J.M., <i>et al.</i> , "Immunogenicity of lipid-conjugated antigens. I. The Influence of Chain Length and Degree of Conjugation on Induction of Antibody in Mice," <i>Immunology</i> 39:345-352, Blackwell Scientific Publications (1980)
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AR	<u>54</u>	Sudo, T., <i>et al.</i> , "Differences in MHC Class I Self Peptide Repertoires Among HLA-A2 Subtypes," <i>J. Immunol.</i> 155:4749-4756, American Association of Immunologists (1995)
AS	<u>54</u>	Sugawara, S., <i>et al.</i> , "A simple method to eliminate the antigenicity of surface class I MHC molecules from the membrane of viable cells by acid treatment at pH 3," <i>J. Immunol. Methods</i> 100:83-90, Elsevier Science (1987)
AT	<u>54</u>	Tam, J.P., and Lu, Y-A., "Vaccine engineering: Enhancement of immunogenicity of synthetic peptide vaccines related to hepatitis in chemically defined models consisting of T- and B-cell epitopes," <i>Proc. Natl. Acad. Sci. USA</i> 86:9084-9088, National Academy of Sciences (1989)

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	AP						Yes No

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AR	<u>55</u>	Townsend, A., and Bodmer, H., "Antigen Recognition by Class I-Restricted T Lymphocytes," <i>Ann. Rev. Immunol.</i> 7:601-624, Annual Reviews, Inc. (1989)
AS	<u>55</u>	von Boehmer, H., and Haas, W., "Distinct Ir Genes for Helper and Killer Cells in the Cytotoxic Response to H-Y Antigen," <i>J. Exp. Med.</i> 150:1134-1142, Rockefeller University Press (1979)
AT	<u>55</u>	Watari, E., <i>et al.</i> , "A Synthetic Peptide Induces Long-Term Protection from Lethal Infection with Herpes Simplex Virus 2," <i>J. Exp. Med.</i> 165:459-470, Rockefeller University Press (1987)

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AR	<u>56</u>	Wentworth, P.A., <i>et al.</i> , "In Vitro Induction of Primary, Antigen-Specific CTL from Human Peripheral Blood Mononuclear Cells Stimulated with Synthetic Peptides," <i>Mol. Immunol.</i> 32:603-612, Elsevier Science Ltd. (1995)
AS	<u>56</u>	Wherry, E.J., <i>et al.</i> , "The Induction of Virus-Specific CTL as a Function of Increasing Epitope Expression: Responses Rise Steadily Until Excessively High Levels of Epitope Are Attained," <i>J. Immunol.</i> 163:3735-3745, American Association of Immunologists (October 1999)
AT	<u>56</u>	Widmann, C., <i>et al.</i> , "T helper epitopes enhance the cytotoxic response of mice immunized with MHC class I-restricted malaria peptides," <i>J. Immunol. Meth.</i> 155:95-99, Elsevier Science Publishers B.V. (1992)

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	AR	57	Wiesmüller, K-H., <i>et al.</i> , "Lipopeptide-Helper-T-Cell Epitope-CTL Epitope Conjugate Induces Antibodies Against the CTL Epitope," <i>Innovation Perspective Solid Phase Synthesis Collect. Papers, Int. Symp. 2nd</i> , pp. 499-502 (1991)
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	AT	57	Yewdell, J.W., and Bennink, J.R., "Immunodominance in Major Histocompatibility Complex Class I-Restricted T Lymphocyte Responses," <i>Annu. Rev. Immunol.</i> 17:51-88, Annual Reviews Inc. (April 1999)

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	AS	<u>58</u>	Zinkernagel, R.M., <i>et al.</i> , "The Lymphoreticular System in Triggering Virus Plus Self-Specific Cytotoxic T Cells: Evidence for T Help," <i>J. Exp. Med.</i> 147:897-911, Rockefeller University Press (1978)				
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